

FORM PTO-1449 (Modified)

ATTY. DOCKET NO.
ICOR-002SERIAL NO.
09/665,305LIST OF PATENTS AND PUBLICATIONS FOR AP-
PLICANT(S)' INFORMATION DISCLOSURE
STATEMENT

(Use several sheets if necessary)

APPLICANT
Handa, et al.FILING DATE
9/19/00

GROUP ART UNIT

U.S. PATENT DOCUMENTS

EXAM'R INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
GA		3,573,747	4/6/71	Adams, et al.			
GA		4,674,044	6/16/87	Kalmus, et al.			
GA		4,942,616	7/17/90	Linstroth, et al.			
GA		4,980,826	12/25/90	Wagner			
GA		5,038,284	8/6/91	Kramer			
GA		5,077,665	12/31/91	Silverman, et al.			
GA		5,101,353	3/31/92	Lupien, et al.			
GA		5,136,501	8/4/92	Silverman			
GA		5,375,055	12/20/94	Togher, et al.			
GA		5,724,524	3/3/98	Hunt, et al.			
GA		5,774,880	6/30/98	Ginsberg			
GA		5,802,499	9/1/98	Sampson, et al.			
GA		5,809,483	9/15/98	Broka, et al.			
GA		5,857,176	1/5/99	Ginsberg			
GA		5,873,071	2/16/99	Ferrstenberg, et al.			
GA		5,905,974	5/18/99	Fraser, et al.			
GA		5,915,209	6/22/99	Lawrence			
GA		5,924,082	7/13/99	Silverman, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
GA		0512702 A2	11/11/92	Europe				
GA		WO 99/19821	4/22/99	WIPO				
GA		0411748 A2	2/6/91	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

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CA		5,924,083	7/13/99	Silverman, et al.			
CA		5,963,923	10/5/99	Garber			
CA		5,987,419	11/16/99	Hachino, et al.			
CA		6,012,046	1/4/00	Lupien, et al.			
CA		6,014,627	1/11/00	Togher, et al.			
CA		6,014,643	1/11/00	Minton			
CA		6,016,483	1/18/00	Rickard, et al.			
CA		6,026,383	2/15/00	Ausubel			
CA		6,058,379	5/2/00	Odom, et al.			

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO
CA		0399850 B1	12/13/95	Europe				
CA		0407026 B1	11/22/95	Europe				

OTHER DOCUMENTS (Include Author, Title, Date, Pertinent Pages, etc.)

CA		Schmerken, Ivy, <i>Banks Eye Forex Matching Systems</i> , Wall Street Computer Review, Vol. 9, No.2, P. 45.
CA		Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983.
CA		Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985.
CA		Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987.
CA		Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988.

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10/3/02

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CA	Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988.
CA	Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989.
CA	Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988.
CA	Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989.
CA	Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989.
CA	Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989.
CA	Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989.
CA	Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989.
CA	Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990.
CA	Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990.
CA	Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990.
CA	Goodman, Ann, <i>The Monep: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991.
CA	Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992.
CA	<i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986.
CA	<i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, , Minex as Co-Sponsor?</i> , FX Week, May 17, 1991.
CA	<i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991.
CA	Schmerken, Ivy, <i>Staying in the Middle:...Brokers Are Fighting to Keep Their Role in the Market; Includes Related Article on Crossing Networks</i> , Wall Street Computer Review, December, 1991.

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09/665,305

LIST OF REFERENCES CITED BY APPLICANT

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APPLICANT

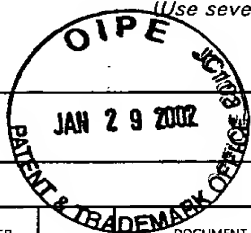
HANDA et al.

FILING DATE

September 19, 2000

GROUP

2161



U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CA	A1	5,950,177	Sep.7, 1999	Lupien et al.	G06F	17/60	
	A2						
	A3						
	A4						
	A5						
	A6						
	A7						
	A8						
	A9						
	A10						
	A11						
	A12						

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FEB 14 2002

Group 2100

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	B1							
	B2							
	B3							
	B4							
	B5							

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

	C1	
	C2	
	C3	

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HANDA et al.

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2161

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
GA	A1	6,317,727	11/13/2001	May	G06F	17/60	
GA	A2	2002/0002530 A1	1/3/2002	May	G06F	17/60	
	A3						
	A4						
	A5						
	A6						
	A7						
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	A9						
	A10						
	A11						
	A12						

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	B2							
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	B5							

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